

Business Services Filing System Request for Proposal Outline for Review Purposes

- I. Request for Proposal (RFP) Specs for Contractual Services Form - describes how we will select a qualified contractor to provide a Business Services Filing System (BSFS) to replace the UCC_Corp Database, the AR Database, plus ancillary databases currently used to perform total system filing functions. Section III is a list of Appendices that contain pertinent details to help explain requirements and the Appendices and documents located within them are referenced throughout the RFP and the RTM.
 - A. Scope of Service
 - B. Table of Contents pg. iii-iv
 - C. SOS Glossary of Terms –terms defined by statute are not included. pg. v-x
 - D. Scope of the Request for Proposal pg. 1
 - E. Procurement Procedures pg. 2-6
 - F. Terms and Conditions pg. 7-29
 - G. Project Description & Scope of Work is a high level overview pg. 30-42
 - a. Project Overview pg.30
 - b. Legal Authority pg. 30
 - c. Current Operational Environment pg. 30-32
 - d. Scope of Work pg. 32
 - e. Project Requirements pg. 33
 - f. Technical Requirements pg. 33-35
 - g. Project Planning and Management pg. 35-37
 - h. Project Start through Implementation pg. 37
 - i. Training pg. 38-39
 - j. Provide Post Implementation Support pg. 39-40
 - k. Succession Planning & Cooperation pg. 40
 - l. Deliverables pg. 40-41
 - m. Optional pg. 41-42
 - H. Proposal Instructions and forms pg. 43-48
- II. Requirements Traceability Matrix (RTM) – Describes requirements of BSFS and bidders must indicate how they intend to comply with the requirement and describe the efforts required to achieve that compliance. The narrative should provide sufficient information to differentiate the bidder's technical solution from other bidders' technical solutions. Explain each response and describe how the proposed solution meets each requirement.
 - A. General Statement of Requirements pg. 1-5
 - a. System Architecture, Licensing, and Ownership pg. 3-4
 - b. Project Requirements pg. 4-5
 - B. Technical Requirements pg. 5-93
 - a. General Features, Maintenance, and Support pg. 5-7
 - b. Common System Processes/Features pg. 8

- c. Technical Corp Processes/Features pg. 9-32
- d. UCC Processes/Features pg. 33-54
- e. EFS Processes/Features pg. 55-71
- f. Common Database Processes/Features pg. 72-83
- g. Reporting/Query Requirements pg. 84-86
- h. Software Design Requirements pg. 86
- i. Customer Payment and Accounting Processing Requirements pg. 87-90

C. Project Planning and Management pg. 91-93

- a. Project Planning and Management, Data Conversion, Training Plan, and Transition Plan

D. Optional Features pg. 94-96

- a. Notary/eNotary Public Component
- b. Additional Filings and Images
- c. Preferred Name Availability Process
- d. Registered Agent Self Service

- III. List of Appendices – Appendices are referenced throughout the RFP Specs and the RTM that contains more detailed information. Appendices A, B, G, & H include the fine details of filing actions, data field requirements, and conditional statements. The remaining Appendices contain additional information necessary to explain workflow and/or processes, action requirements, statutes, rules & regulations, legislative items passed this session, programs and processes contained outside the system, reports and file layouts, retention schedules, Master Lien List details and background, as well as additional information for both the basic and preferred Name Availability Screening processes. If there is an “Open Me First” or “Read Me” file, please start with it in each Appendix as a guide for that Appendix. Appendices A & G are organized by major categories for consistency of layout to explain filings and show similarities between Corp and UCC. Corp categories include: Formation Documents, Amendments & Corrections, Renewals, Mergers, Conversions & Corrections, Dissolutions and Revocations, Reinstatements, and Annual & Biennial Filings. UCC categories include: Originals, Amendments, Corrections, and Terminations.

Appendix A – Entity Types - Actions Matrix for Corp Filings – Document provides entity types, corporation action types and codes arranged by filing categories. Indication is provided showing which entity types the action is filed on and if actions are inbound, outbound; notes if system auto populates templates, generates data files, or generates and sends notice(s), if system auto files updates or make status changes caused by the action. Additional comments are provided as needed.

Appendix B – Corp Data Fields and Appendix H – UCC & EFS Lien Data Fields - Documents contain action types with action codes, arranged by filing categories, notes if filing is currently available online, in addition to being able to be filed in-house, and notes what the requirements are for each database field. The description of those requirements may be found in the Legend for Data Fields sheet. The database field descriptions in the column headings may be clicked on to direct you to a sheet with additional filing information for that specific field.

If the action has a specific rule it can be viewed by clicking on the rule that will open the If-Then or If-Then2 sheet. Additional comments are provided as needed. Database Fields sheet provides all database tables and fields for the UCC_Corp Database.

Appendix C – Statutes and Rules & Regulations – Summary of Statutes, Rules & Regulations, Bills Passed this session pertaining to Business Services duties for Corp, UCC, EFS, Master Lien List, and Notary. It also contains a link to full statutory details on the Nebraska Legislative Website.

Appendix D –Certificates, Forms, and Templates – Examples are listed by type of certificates, forms, and templates used. The summary sheet provides a name and explanation of each certificate, form, or template as well as a table for the database information required for each certificate (under the Corp Certificates tab).

Appendix E – Deposit File Layout – File layout for fees collected in order for fiscal staff to process daily deposit of fees collected.

Appendix F – Accounting Codes and Filing Fees – Chart describes fees for filings in-house and online with statutory references and is organized by tabs: Corp, UCC/EFS, Schedules for Tax Reporting, and Notary. Accounting codes, funds, and fund breakdowns will be shared upon contract award with vendor.

Appendix G – Lien Types - Actions Matrix for UCC & EFS Filings - Provides filing types, UCC/EFS actions with action codes arranged by filing categories. Indication is provided showing which entity the action is filed on and if actions are inbound or outbound; actions generated or notices created, as well as filing updates and status changes caused by action. Maturity information is also provided for each filing type. Additional comments are provided as needed.

Appendix H - UCC & EFS Lien Data Fields – Combined with Appendix B above.

Appendix I – Accounts Receivables Ancillary Database – “Read Me” file sheet describes documents listed and descriptions of each regarding accounts receivables and deposit processes. Accounts Receivables Data Fields document contains actions and database fields populated in UCC_Corp Database. The database field descriptions in the column headings may be clicked on to direct you to a sheet with additional filing information for that specific field.

Appendix J – Ancillary Databases and Derived Reports – Contains Ancillary databases, programs, processes, and reports required to be included in the BSFS.

Appendix K – Reports and Additional Information - Examples of reports and statistics generated within and for the UCC_Corp Database, as well as others, gathered and generated in-house from various sources. The summary sheet also provides reports, additional information, and formats requested for reports in the BSFS.

Appendix L – Retention Schedules – Contains two retention schedules for SoS requirements applicable to Business Services and the BSFS.

Appendix M – Master Lien List - Master Lien List summarizes background of process, information sources and guidelines, buyer’s list information, data and types of liens to be included in the report, explains how report is to be compiled, organized, and published.

Appendix N – Name Availability Screening – Process used to perform a name availability check within the system. This is a two-step process with different staff members involved using the template screening tool designed to assist in determining availability of a name for use in accordance with Nebraska’s “deceptively similar standards”. This appendix summarizes the process, explains the template, and notes the electronic minimum requirements required for the BSFS in the first three tabs as listed in the RTM. Additional tabs show added information for an enhanced, more in depth, electronic process and a response can be provided for that process under optional feature in Attachment B.

All materials for review can be found in link provided on Nebraska Department of Administrative Services website http://das.nebraska.gov/materiel/purchase_bureau/vendor/bid_opportunity.html, under Secretary of State Business Services Filing System RFP 530121.